



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/711,152	11/09/2000	Patrick Denis Lincoln	1190526-991200

26379
GARY CARY WARE & FREIDENRICH
PATENT DEPARTMENT (HILLVIEW)
3340 HILLVIEW AVE
PALO ALTO, CA 94304

FORMALITIES LETTER



OC000000005686019

Date Mailed: 01/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$654.
 - \$414 for 23 total claims over 20.
 - \$240 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 1494.

8888

355.00
207.00
120.00
65.00*A copy of this notice MUST be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/20/2001 BN/NGUYEN1 000000072 0971152

FC:201
FC:203
FC:202
FC:205
823355

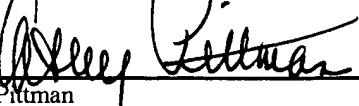


Attorney Docket No.: 1190526-991200

Sector
ff4

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 17, 2001.


Cathy Pittman

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Patrick D. Lincoln et al.

Serial No: 09/711,152 Group Art Unit: 2131

Filed: November 9, 2000 Examiner: not assigned

Title: LATTICE-BASED SECURITY CLASSIFICATION SYSTEM AND METHOD

* * *

RESPONSE TO NOTICE TO FILE MISSING PARTS OF UTILITY PATENT APPLICATION
AND PETITION UNDER 37 CFR 1.47(A)

Box MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Four-month Extension This responds to the Notice to File Missing Parts dated January 18, 2001. Pursuant to 37 C.F.R. 1.136(a), the Applicant hereby petitions for a four-month extension of time to respond to the Notice to File Missing Parts.

In response to the "Notice to File Missing Parts of Nonprovisional Patent Application," a copy which is attached, enclosed herewith are the following documents :

- | | |
|---------------------------------------------------------------------------|--------------------------------------------|
| 1. Power of Attorney | Repln. Ref: 07/20/2001 BNGUYEN1 0018520800 |
| 2. Fee transmittal | DA#071896 Name/Number:09711152 |
| 3 Copy of Notice to File Missing Parts | FC: 704 \$40.00 CR |
| 4 Verified Statement Claiming Small Entity Status | |
| 5 Declaration of Patrick D. Lincoln and Steven M. Dawson | |
| 6 Declaration of Pierangela Samarati and Sabrina De Capitani di Vimercati | |

07/20/2001 BNGUYEN1 00000072 09711152

01 FC:218

695.00 OP

Gray Cary\EM\7080765.1
1190526-991200

The PTO did not receive the following
listed item(s) An Assignment sheets.

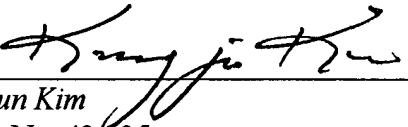
7. Assignment by Patrick D. Lincoln and Steven M. Dawson to SRI International
8. Assignment by Pierangela Samarati and Sabrina De Capitani di Vimercati to SRI International
9. Three (3) checks in the amount of \$695.00, in the amount of \$787.00, and in the amount of \$40.00 for a total of \$1522.00 (\$695 extension fee, \$355 basic filing fee for small entity, \$327 for extra claims, \$65 missing parts surcharge, \$80 assignment recordation fees)
10. Return Postcard

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this document is enclosed.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 7 - 13 - 01

By 
K. Jun Kim
Reg. No. 43,335
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH
1755 Embarcadero Road
Palo Alto, CA 94303-3340
Telephone: (650) 833-2433



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Fee Transmittal for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$1522.00)
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Complete if Known

Application Number	09/711,152
Filing Date	November 9, 2000
First Named Inventor	Patrick D. Lincoln, et al.
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	1190526-991200

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	07-1896
Deposit Account Name	Gray Cary Ware & Freidenrich LLP

- Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status.
 See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEES CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
101	710	201	355 Utility filing fee
106	320	206	160 Design filing fee
107	490	207	245 Plant filing fee
108	710	208	355 Reissue filing fee
114	150	214	75 Provisional filing fee
SUBTOTAL (1)			(\$ 355)

2. EXTRA CLAIM FEES

Total Claims	43	-20** =	23	X	9	=	207
Independent Claims	6	-3** =	3	X	40	=	120

Multiple Dependent	X	=	
Large Entity	Small Entity	Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)
103	18	203	9 Claims in excess of 20
102	80	202	40 Independent claims in excess of 3
104	270	204	135 Multiple dependent claim, if not paid
109	80	209	40 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)			(\$ 327)

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
105	130	205	65 Surcharge - late filing fee or oath
127	50	227	25 Surcharge - late provisional filing fee or cover sheet
139	130	139	130 Non-English specification
147	2,520	147	2,520 For filing a request for ex parte reexamination.
112	920*	112	920* Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action
115	110	215	55 Extension for reply within first month
116	390	216	195 Extension for reply within second month
117	890	217	445 Extension for reply within third month
118	1,390	218	695 Extension for reply within fourth month
128	1,890	228	945 Extension for reply within fifth month
119	310	219	155 Notice of Appeal
120	310	220	155 Filing a brief in support of an appeal
121	270	221	135 Request for oral hearing
138	1,510	138	1,510 Petition to institute a public use proceeding
140	11	0240	55 Petition to revive – unavoidable
141	1,240	241	620 Petition to revive – unavoidable
142	1,240	242	620 Utility issue fee (or reissue)
143	440	243	220 Design issue fee
144	600	244	300 Plant issue fee
122	130	122	130 Petitions to the Commissioner
123	50	123	50 Petitions related to provisional applications
126	240	126	240 Submission of Information Disclosure Stms
581	40	581	40 Recording each patent assignment per property (times number of properties)
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))
179	710	279	355 Request for Continued Examination (RCE)
169	900	169	900 Request for expedited examination of a design application
Other fee (specify)			

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 840)

Complete (if applicable)

SUBMITTED BY					
Name (Print/Type)	K. Jun Kim	Registration No. (Attorney/Agent)	43,335	Telephone	650/320-7419 or 650/833-2000
Signature				Date	July 13, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box

+

PTO/SB21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/711,152
Filing Date	November 9, 2000
First Named Inventor	Patrick D. Lincoln, et al.
Group Art Unit	unknown
Examiner Name	Not Yet Assigned
Attorney Docket Number	1190526-991200

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment with Appendix A attached: <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Associate Power of Attorney, <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Two (2) Declaration and Power of Attorneys; Two (2) Recordation Form Cover Sheets Check #482431 for \$787.00 Check #482572 for \$40.00 Check #482589 for \$695.00 Return Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	K. Jun Kim (Reg. No. 43,335) Gray Cary Ware Freidenrich LLP
Signature	
Date	July 13, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

Typed or printed name	Cathy Pittman
Signature	
Date	July 13, 2001